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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/731,594	12/08/2003 12/9/03	1646	1240 ✓	21437 US2 ✓		27 ✓	7 ✓

00151

HOFFMANN-LA ROCHE INC. ✓  
 PATENT LAW DEPARTMENT  
 340 KINGSLAND STREET  
 NUTLEY, NJ 07110

CONFIRMATION NO. 3874

## FILING RECEIPT



\*OC000000012102591\*

Date Mailed: 03/15/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Jin-Jun Liu, Warren, NJ; ✓  
 Kin-Chun Luk, North Caldwell, NJ; ✓

## Domestic Priority data as claimed by applicant

This appln claims benefit of 60/434,969 12/20/2002 ✓  
 and claims benefit of 60/513,615 10/23/2003

## Foreign Applications

If Required, Foreign Filing License Granted: 03/15/2004 ✓

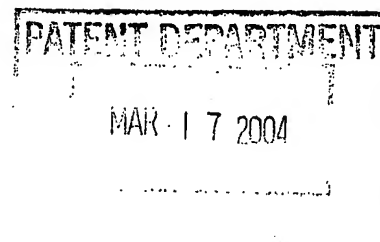
Projected Publication Date: 06/24/2004 ✓

Non-Publication Request: No

Early Publication Request: No

## Title

Novel dihydropyridinone compounds ✓



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ph  
106

Preliminary Class

530

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Title 37, Code of Federal Regulations, 5.11 & 5.15**

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PTO/SB/21 (02-04)

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number	10/731,594
Filing Date	December 9, 2003
First Named Inventor	Jin-Jun Liu et al.
Art Unit	1646
Examiner Name	Thomas C. McKenzie
Attorney Docket Number	21437 US2

Total Number of Pages in This Submission

**ENCLOSURES (Check all that apply)**

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	
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<input type="checkbox"/> Certified Copy of Priority Document(s)	Remarks	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

**REQUEST FOR CORRECTED FILING  
RECEIPT with Documents****SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Bernard Lau
Signature	
Date	July 22, 2004

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Bernard Lau		
Signature		Date	July 22, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application

Inventors: Jin-Jun Liu et al.

Group: 1646

Serial No. 10/731,594, filed December 9, 2003

Examiner: Thomas C. McKenzie

For: NOVEL DIHYDROPYRIDINONE COMPOUNDS

**REQUEST FOR CORRECTED FILING RECEIPT**

Nutley, New Jersey 07110  
July 22, 2004

Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Applicants respectfully request a corrected filing receipt for the captioned case correcting the filing date as shown on the enclosed receipt copy.

In reviewing the enclosed Filing Receipt, it was noted that the Filing Date is incorrect. Although the enclosed Express Mail Postal Receipt indicated that the present application was mailed on December 8, 2003, in fact, applicants mailed the present application on December 9, 2003. It appears that the U.S. Postal Services inadvertently wrote the date of December 8, 2003 rather than the correct date of December 9, 2003, the date in which the application was delivered to the U.S. Post Office, on the Express Mail Postal Receipt.

As support for December 9, 2003 as the correct filing date, applicants submit the following documents that are on file at the USPTO:

1. Returned receipt postcard showing date mailed as December 9, 2003;
2. Certification under 37 C.F.R. 1.10 from Marta Swaryczewsky that the application in the Express Mail Label EL912163425US, used for filing the present application, was deposited with the U.S. Postal Service on December 9, 2003;
3. Utility Patent Application Transmittal with signed by the undersigned on December 9, 2003; and
4. Fee sheet dated December 9, 2003.

Serial No. 10/731,594  
Filed: December 9, 2003

Applicants respectfully request that the USPTO issue a new filing receipt reflecting the correct filing date of December 9, 2003.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Bernard Lau", written over a horizontal line.

Attorney for Applicants  
Bernard Lau  
(Reg. No. 38,218)  
340 Kingsland Street  
Nutley, NJ 07110  
Telephone (973) 235-4387  
Telefax: (973) 235-2363

144384  
Docket CD 21437



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Express Mail No. EL912163425US

Date Mailed: December 9, 2003

Docket No. 21437 US2

Ser. No. -

Filed: 22390 U.S. PTO

Jin-Jun Liu and Kin-Chun Luk

10/731594

NOVEL DIHYDROPYRIDINONE COMPOUNDS



120803

- ( ) Affidavit/Declaration  
( ) Amendment ( ) Final  
(X) Application 71 pages  
27 Claims - Drawings  
(X) Application Data Sheet  
( ) Appeal, Notice of  
( ) Brief (in triplicate)  
(X) Declaration  
( ) Disclaimer  
( ) Drawings, formal  
- Sheets - Figures  
( ) Other: -

- (X) Fee Sheet  
(X) Info Discl. State ( ) Suppl.  
(X) w/refs. ( ) w/o refs.  
( ) Letter/Response  
( ) Petition to Extend Time  
( ) Power of Attorney  
( ) Sequence List w/Computer  
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( ) Status Letter  
( ) Transmittal Letter

Ref. No. 21437 US2

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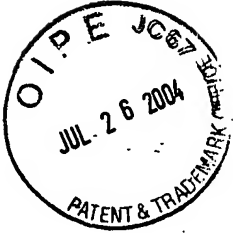
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Nutley, New Jersey 07110-9849

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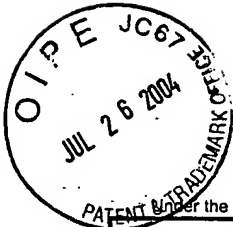
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FROM: (PLEASE PRINT) HOFFMANN LAROCHE INC PATENT LAW 340 KINGSLAND ST BLDG 85/B 7 NUTLEY NJ 07110-1150 Bernard Lau, Esq. CD 21437 US2	PHONE ( )	TO: (PLEASE PRINT) MAIL STOP: PATENT APPLICATION Commissioner For Patents P.O. Box 1450 Alexandria, VA 22313-1450 BL:ms
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### Certification under 37 CFR 1.10

I hereby certify that this form and all documents cited on this form are being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number:

EL912163425US

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**Commissioner for Patents**

**P.O. Box 1450**

**Alexandria, VA 22313-1450**

on December 9, 2003

Date

*Marta Swaryczewsky*  
Signature

Marta Swaryczewsky

Typed or printed name of person of signing Certificate

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Papers Submitted for Case Docket 21437 US2: Patent Application Transmittal Form, Application Data Sheet, Fee Transmittal Form, Specification, Declaration, Information Disclosure Statement with PTO Form 1449 and References



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PTO/SB/05 (06-03)

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	21437 US2
First Inventor	Jin-Jun Liu et al.
Title	Novel ...
Express Mail Label No.	EL912163425US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 71]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets \_\_\_\_\_]
5. Oath or Declaration [Total Sheets 3]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Reader Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ Paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure ☒ Copies of IDS Citations  
Statement (IDS)/PTO-1449
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: .....

Prior application information:

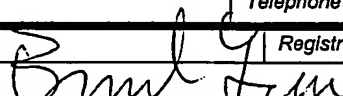
Examiner \_\_\_\_\_

Art Unit: \_\_\_\_\_

For CONTINUATION OF DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

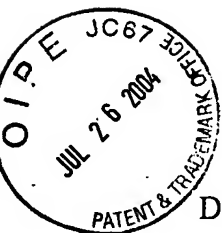
## 19. CORRESPONDENCE ADDRESS

☒ Customer Number: 00151 OR ☐ Correspondence address below

Name			
Address			
City	State	Zip Code	
Country	Telephone	Fax	
Name (Print/Type)	Bernard Lau		Registration No. (Attorney/Agent)
Signature			Date
			12/09/2003

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340 Kingsland Street  
Nutley, NJ 07110  
Case Docket 21437 US2  
December 9, 2003

Sir:

Transmitted herewith for filing under 37 C.F.R. § 1.53(b) is the patent application of

Inventor(s): Jin-Jun Liu and Kin-Chun Luk

For: **NOVEL DIHYDROPYRIDINONE COMPOUNDS**

1. The fee has been calculated as shown below:

CLAIMS				
FOR	NO. FILED	NO. EXTRA	RATE	FEE
TOTAL CLAIMS	27 - 20	7	x \$18	126
INDEP. CLAIMS	7 - 3	4	x \$86	344
MULTIPLE DEPENDENT CLAIMS PRESENTED			+ \$290	
BASIC FEE				\$ 770
TOTAL				<u>\$1240</u>

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George W. Johnston  
Hoffmann-La Roche Inc.  
340 Kingsland Street  
Nutley, NJ 07110

Attorney for Applicant(s)  
Bernard Lau  
(Reg. No. 38218)

137158

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